

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

3624
#3
BT

5-27-03

In re the Application of:

Kendrick W. Kan,
Bruce L. Horn

Title:

**Internet-Based System for Identification,
Measurement and Ranking of Investment
Portfolio Management, and Operation
of a Fund Supermarket, Including "Best
Investor" Managed Funds**

Serial No. 09/836,694

Filed: April 17, 2001

) Attorney Docket No. 26592-004REG US

) Group Art Unit: 3624

) Examiner: Weisberger, Richard C.

) Telephone: (703) 308-4408

) Date of Mailing: May 15, 2003

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GROUP 3624

Certification under 37 CFR 1.8

Mail Deposit Date: May 15, 2003

I hereby certify that the correspondence is being deposited on the above stated date with the United States Post Office as First Class Mail, in an envelope addressed to the Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Arlington, VA 22313-1450.

Name: Jana L. Dulin

Signature: Jana L. Dulin

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.97

Mail Stop: Patent Application
Commissioner for Patents
P.O. Box 1450
Arlington, VA 22313-1450

Sir:

Applicant(s) wish to disclose the following information under rule 97:

REFERENCES

☒ The Applicant(s) wish to make of record the references listed on the attached Form PTO-1449. Copies of the listed references are attached, where required.

☐ The Applicant(s) wish to make of record the references cited in the copending related US Application Serial Number _____ filed _____. Copies of the references are attached.

RELATED CASE(S)

☒ Applicant has filed the following related U.S. application:

This Application is based on the following three Provisional Applications, all filed by the same inventors under the same application title: 60/197,569 filed April 17, 2000; 60/231,058 filed September 8, 2000; and 60/261,885 filed January 16, 2001; and of the following Regular Applications filed by Bruce Horn and Blake Ward: System And Method For Generating Personalized Messages, USSN 09/610,164, filed July 5, 2000; System and Method For Determining and Tracking Performance Metrics For Individual Investors, USSN 09/610,160, filed July 5, 2000; and System And Method For Ranking Individual Investors And Filtering Commentary Based On Ranking, USSN 09/610,163, filed July 5, 2000.

CERTIFICATION

The undersigned certifies that:

☒ No Office Action has been received in this case.

☐ The reference(s) disclosed herein were previously disclosed in the original priority application Specification as filed _____, or/and the relevance to the present application described therein.

☐ The _____ publications were cited in a communication from a foreign patent office in Applicant's _____ counterpart foreign application.

FEE PAYMENT

☒ It is believed that no fee is due for the papers being filed herewith.

☐ Please charge Deposit Account No. 04-1699 in the amount of \$_____ for the fees due under §1.17(p) for the papers being filed herewith. A duplicate of this sheet is enclosed.


☒ If the fees as submitted above are not correct or a fee is required, please charge any additional fees, or credit any overpayment, to Deposit Account No. 04-1699. Please reference the Attorney Docket number 26592-004REG US in recording any fee charge made.

Encl: 1449, 1 pg.
Copy of Reference 5,873,071
Return Receipt Postcard

DATE: May 15, 2003

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Respectfully submitted,

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(Use as many sheets as necessary)

Sheet

of

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Complete if Known

| | |
|------------------------|------------------|
| Application Number | 09/836,694 |
| Filing Date | April 17, 2001 |
| First Named Inventor | Kendrick W. Kan |
| Art Unit | 3624 |
| Examiner Name | Weisberger |
| Attorney Docket Number | 26592-004 REG US |

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PTO/SB/08A (04-03)

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U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

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| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.